

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371****10/527128**

INTERNATIONAL APPLICATION NO.

PCT/JP2004/006333

INTERNATIONAL FILING DATE

30 April 2004 (30.04.04)

PRIORITY DATE CLAIMED

08 May 2003 (08.05.03)

TITLE OF INVENTION

**OPTICAL HEAD DEVICE, METHOD OF MANUFACTURING THE SAME, AND OPTICAL INFORMATION
RECORDING AND/OR PLAYBACK APPARATUS**

APPLICANT(S) FOR DO/EO/US

Ryuichi KATAYAMA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An Executed oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information (*specify*): *15 sheets of drawings; EFS form; postcard; Copy of the 1st page of the Publication*

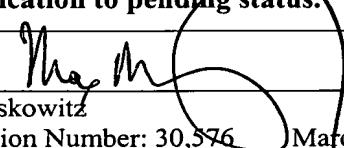
EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label # EV 343723018US) in an envelope addressed to: Box PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on March 8, 2005:

Name of Person Mailing Correspondence: Dorothy Jenkins

Signature

Date of Signature: March 8, 2005

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 10/527128		INTERNATIONAL APPLICATION NO. PCT/JP2004/006333		ATTORNEY'S DOCKET NUMBER P/2108-40	
21. The following fees are submitted:					
<input checked="" type="checkbox"/> a) Basic national fee.....				\$ 300.00	
<input checked="" type="checkbox"/> b) Examination fee.....				\$ 200.00	
<input checked="" type="checkbox"/> c) Search fee.....				\$ 500.00	
TOTAL OF ABOVE CALCULATIONS =				\$1,000.00	
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				\$ 00.00	
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
102 - 100 =	2/50 =		x \$250.00	\$ 250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total Claims	17 - 20 =	0	x \$ 50.00	\$ 000.00	
Independent Claims	2 - 3 =	0	x \$200.00	\$ 000.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$ 00.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 1250.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$ 1250.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	
TOTAL NATIONAL FEE =				\$ 1250.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by the appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$1290.00	
a. <input checked="" type="checkbox"/> A check (check number _____) in the amount \$ <u>1290.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>15-0700</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0700. A duplicate copy of this sheet is enclosed. NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Max Moskowitz Ostrolenk, Faber, Gerb & Soffen, LLP 1180 Avenue of the Americas New York, New York 10036-8402			<div style="text-align: center;">  Max Moskowitz Registration Number: 30,576 Telephone: (212) 382-0700 </div> <div style="text-align: right;"> <u>March 8, 2005</u> </div>		

INVENTOR INFORMATION

10/527128

0112 Rec'd PCT/PTO 08 MAR 2005

Inventor One Given Name:: Ryuichi
Family Name:: KATAYAMA
Postal Address Line One:: c/o NEC Corporation, 7-1, Shiba 5-chome,
Postal Address Line Two:: Minato-ku
City:: Tokyo
Country:: Japan
Postal or Zip Code:: 108-8001
Citizenship Country:: Japan

CORRESPONDENCE INFORMATION

Correspondence Customer Number:: 000002352
Electronic Mail One:: email@ostrolenk.com

APPLICATION INFORMATION

Title Line One:: OPTICAL HEAD DEVICE, METHOD OF MANUFACTU
Title Line Two:: RING THE SAME, AND OPTICAL INFORMATION R
Title Line Three:: ECORDING AND/OR PLAYBACK APPARATUS

Total Drawing Sheets:: 15
Formal Drawings?: Yes
Application Type:: Utility
Docket Number:: P/2108-40
Secrecy Order in Parent Appl.?: No

CONTINUITY INFORMATION

This application is a:: 371 OF
> Application One:: PCT/JP04/06333
Filing Date:: 04-30-2004

PRIOR FOREIGN APPLICATIONS

Foreign Application One:: 2003-130814
Filing Date:: 05-08-2003
Country:: Japan
Priority Claimed:: Yes

Source:: PrintEFS Version 1.0.1